

PERSONAL FINANCIAL QUESTIONNAIRE
(To Be Filed in Duplicate)

Name _____ Date _____

Address _____

Submitted in connection with application for gaming license for:

Name of Gaming Establishment

1. Do you anticipate active participation in the management and operation of the gambling establishment?
Yes ☐ No ☐ If yes, attach detailed description of activity anticipated.

2. Amount to be invested in the business \$ _____
Percentage of ownership this will represent _____

3. Investment will be derived from the following sources:
(Submit executed agreements for all financial transactions.)

4. Has your interest in this gambling establishment been assigned, pledged, or hypothecated to any person, firm, or corporation, or has any agreement been entered into whereby your interest is to be assigned, pledged, or sold either in part or in whole?

Yes ☐ No ☐

5. Have you ever filed bankruptcy? Yes ☐ No ☐ If yes, furnish details on separate sheet.

6. Have any individual, city, county, state, or Federal liens been filed against you as an individual, sole proprietor, member of a partnership, owner of a corporation, or similar capacity? Yes ☐ No ☐
If yes, provide details on separate sheet.

7. Has your Federal Income Tax Return ever been audited or adjusted? Yes ☐ No ☐
If yes, provide details on separate sheet.

8. Last Federal Income Tax Return was filed _____ for year _____ at

City

State

Applicants are advised that Federal Income Tax Returns will be required during the licensing investigation.

9. Do you own or control any assets or liabilities located outside the United States? Yes ☐ No ☐
If yes, provide details on appropriate schedule or on a separate sheet.
10. Do you hold any assets in a Trust? Yes ☐ No ☐
If yes, attach a copy of all such trusts, and include a schedule of assets held by each trust.
11. Do you control, manage, or hold in trust any assets or liabilities for another person or entity? Yes ☐ No ☐
Provide details under remarks on page 5.
12. Annual Income \$_____
- | | |
|-----------------------|----------|
| Salary | \$ _____ |
| Interest | \$ _____ |
| Dividends | \$ _____ |
| Other (Describe)_____ | \$ _____ |
| Other (Describe)_____ | \$ _____ |
| Other (Describe)_____ | \$ _____ |
13. List all assets and liabilities on the attached schedules. Please indicate all assets and liabilities held as sole and separate property by yourself and your spouse. (Attach additional schedules or forms if necessary.)

STATEMENT OF ASSETS

as of _____
Date

List all assets, both tangible and intangible, on the appropriate line below. Enter the amount as of the date of this statement. Each listed asset must be described fully on the appropriate schedule.

ASSETS:	Original Cost/ Investment	Market Value
Cash on Hand.....	\$ _____	\$ _____
Cash in Financial Institutions (Schedule "A")	_____	_____
Accounts and Notes Receivable (Schedule "B")	_____	_____
Marketable Securities (Schedule "C")	_____	_____
Business Investments (Schedule "D")	_____	_____
Fixed Assets (Schedule "E")	_____	_____
OTHER ASSETS:		
(Schedule "F")	_____	_____
TOTAL ASSETS	\$ _____	\$ _____

STATEMENT OF LIABILITIES

as of _____
Date

List all liabilities on the appropriate line below. Enter the amount as of the date of this statement. Each listed liability must be described fully on the appropriate schedule.

LIABILITIES:	Original Amount	Present Balance
Accounts Payable (credit cards, etc.).....	\$ _____	\$ _____
Taxes Payable.....	_____	_____
Notes Payable (Schedule "G")	_____	_____
Mortgages Payable (Schedule "H")	_____	_____
Other Liabilities (Schedule "I").....	_____	_____
TOTAL LIABILITIES.....	\$ _____	\$ _____
NET WORTH		\$ _____
CONTINGENT LIABILITIES (Schedule "J").....		\$ _____

STATE OF _____

COUNTY OF _____

SS.

I, _____, being duly sworn, depose and say that the above

Applicant's Name

APPLICANT

Signature _____

SUBSCRIBED AND SWORN TO BEFORE ME

THIS _____ DAY OF _____, _____

Notary Public

REMARKS

5 of 10

Applicant's Initials _____

SCHEDULE "A"**Cash in Financial Institutions**

List below all accounts, foreign or domestic, maintained by you, your spouse, or dependent children.

Name and Address of Financial Institution	Names of Persons Appearing on Account	Account No.	Date Opened	Interest Rate	Type of Account	Balance as of (Date)

SCHEDULE "B"**Accounts and Notes Receivable**

List below all accounts and notes receivable held by you, your spouse, or dependent children. Indicate by means of an asterisk (*) in the first column accounts and notes receivable held by your spouse and/or dependent children.

Name and Address of Debtor	Date Incurred	Original Amount	Unpaid Balance	Payment/Period	Interest Rate	Maturity Date	Purpose	Collateral

SCHEDULE "C"

Marketable Securities

List below the information requested for all marketable securities held or controlled by you, your spouse, or dependent children. Whenever interest exists through a mutual fund or holding company, the stocks held by such mutual fund or holding company need not be listed; whenever such interest exists through a beneficial interest in a trust, the stocks and bonds held in such trust shall be listed if you, your spouse, or dependent children have knowledge of what stocks and bonds are so held. **INDICATE PUBLICLY TRADED STOCKS AND BONDS BY AN ASTERISK (*).** Indicate by means of a double asterisk (**) next to the first column all stocks and bonds held by your spouse or dependent children.

Issuer	Type	No. of Shares or Units	Purchase Price	Date of Purchase	Name in Which Held	Market Value

SCHEDULE "D"

Business Investments

List below the information requested regarding any business investments in which any direct, indirect, vested, or contingent interest is held by you, your spouse, or dependent children, along with the names of all individuals or entities who share a direct, indirect, vested, or contingent interest therein. This should include but not be limited to joint ventures, partnerships, sole proprietorships, corporations, and LLCs.

Entity Name	Type of Entity	No. of Shares or Units	Percent of Ownership	Purchase Price	Date of Purchase	Name in Which Held	Individuals or Entities Sharing Interest and Percentage Ownership	Market Value

SCHEDULE "E"

Fixed Assets

List below the information requested regarding any real property in which any direct, indirect, vested, or contingent interest is held by you, your spouse, or dependent children, along with the name of all individuals or entities who share a direct, indirect, vested, or contingent interest therein.

Address/Location	Type	Size	Purchase Price/ Improvements at Cost	Date of Purchase	Down Payment	Source of Down Payment	Ownership Percent	Other Owners	Income	Market Value

SCHEDULE "F"

Other Assets

List below the information requested for all other assets held by you, your spouse, or dependent children. Indicate by means of an asterisk (*) in the first column those assets held by your spouse or dependent children. (i.e., automobiles, personal property, cash surrender value of life insurance policies, pension plans, etc.)

Type of Asset	Purchase Price	Date of Purchase	Market Value	Other Information

SCHEDULE "G"**Notes Payable**

List below the information requested for all notes payable for which you, your spouse, or dependent children are obligated. Indicate by means of an asterisk (*) in the first column those notes for which your spouse or dependent children are obligated.

Name and Address of Creditor	Date Incurred	Original Amount	Unpaid Balance	Payment/ Period	Interest Rate	Maturity Date	Purpose	Collateral

SCHEDULE "H"**Mortgages Payable**

List below the information requested for all mortgages or liens payable on real estate for which you, your spouse, or dependent children are obligated. Indicate by an asterisk (*) in the first column those mortgages/liens for which your spouse or dependent children are obligated.

Name and Address of Creditor	Date Incurred	Original Amount	Unpaid Balance	Payment/ Period	Interest Rate	Maturity Date	Position of Mortgage or Lien	Description/Address of Real Estate

SCHEDULE "I"**Other Liabilities**

List below the information requested for any other indebtedness for which you and/or your spouse or dependent children are obligated. Indicate by means of an asterisk (*) in the first column any indebtedness for which your spouse or dependent children are obligated. **INCLUDE CHILD SUPPORT AND ALIMONY OBLIGATIONS.**

Name and Address of Creditor	Date Incurred	Original Amount	Unpaid Balance	Payment/ Period	Interest Rate	Maturity Date	Purpose	Description of Liability	Collateral

SCHEDULE "J"**Contingent Liabilities**

List below the information requested for all contingent liabilities for which you and/or your spouse are obligated. Indicate by means of an asterisk (*) in the first column those contingent liabilities for which your spouse is obligated.

Name and Address of Creditor	Date Incurred	Original Amount	Unpaid Balance	Payment/ Period	Interest Rate	Maturity Date	Purpose	Collateral	Persons Liable Besides You and/or Your Spouse